

INDIAN AFFAIRS RECORDS SCHEDULE

9000 Series

HISTORICAL TRUST ACCOUNTING

SUPERSEDES ALL PREVIOUSLY RELEASED RECORDS SCHEDULES

INDIAN AFFAIRS RECORDS SCHEDULE

SERIES: 9000

Historical Trust Accounting

TR-9001-P5 **Program Correspondence and Policy/Directives Files**

NARA JOB #
N1-075-06-08
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9/28/2006

a. Program Correspondence Files – Official Files

Contents: Records include program correspondence files that are created; received and where action is taken; or have the primary responsibility for documentation of the activities which relate directly to the Historical Trust Accounting program function. Records relate to program management, program projects, including, but not limited to: Judgment and Per Capita Individual Indian Money (IIM) Accounts, Land-based IIM Accounts, Special Deposit IIM Accounts (SDA), Tribal Trust Accounting, and Data Digitization and Validation. Records include, but are not limited to, incoming and outgoing originals or copies of correspondence, reports, forms, and other records that pertain to the program and administrative activities of the office in which these records are created and maintained. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange under general subject areas, such as: (1) General Program Management, (2) Judgment and Per Capita IIM Accounts, (3) Land-based IIM Accounts, (4) SDA IIM Accounts, (5) Tribal Trust Accounting, and then alphabetically by subject.

Official File: Central Office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off, and then retire to the Federal Records Center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of the Interior and the National Archives and Records Administration.

SOME RECORDS MAY BE SUBJECT TO THE PRIVACY ACT

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b. Program Policy/Directives Master Set with Case History Files – Official Files

Contents: Records include files relating to the internal program policy, guidance and regulations of daily operations for the Historical Trust Accounting program. Records consist of the preparation, review, and documentation of decisions related to policy development, to the Administrative Record of The Historical Accounting Plan for Individual Indian Money, regulation case history, public comment, proposed and final regulations, clearances, publications and final distribution of a directive in a manual, bulletin or handbook format outlining internal policy, procedure, organization, instruction and delegation of authority. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, supporting documentation, and related correspondence.

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Historical Trust Accounting

Filing Arrangement: Arrange alphabetically by subject then chronologically.

Official File: Central Office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when superseded or rescinded. Maintain in office of record for a maximum of 5 years after cut off, and then retire to the Federal Records Center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of the Interior and the National Archives and Records Administration.

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Executive Director's Chronological File

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Filing Arrangement: Arrange chronologically by date received or created.

Official File: Central Office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end when superseded or rescinded. Maintain in office of record for a maximum of 5 years after cut off, and then retire to the Federal Records Center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of the Interior and the National Archives and Records Administration.

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Historical Trust Accounting

TR-9003-P3

Cobell v. Norton Related Electronic Mail Records

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Contents: Senders' and recipients' versions of electronic mail messages that meet the definition of Federal records and relate to: (1) *Cobell v Norton* litigation; (2) American Indian trust reform; or (3) administration of Individual Indian Money (IIM) accounting, including any attachments to the record messages after they have been copied to paper.

Filing Arrangement: Arrange by staff member and then chronologically by date.

Official File: Central Office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 3 years after cut off, and then retire to the Federal Records Center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of the Interior and the National Archives and Records Administration.

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Historical Trust Accounting

TR-9004-P5

Indian Reservation Histories

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Contents: Records include individual histories of Indian reservations. The history of each reservation is in the form of a narrative that contains information such as the location of records relating to the reservation, the major treaties or legislation relating to the reservation, the process of allotment, and information on resource development, judgment funds or other information on disbursement of trust fund monies. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange by BIA Region and then by Indian tribe.

Official File: Central Office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off, and then retire to the Federal Records Center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of the Interior and the National Archives and Records Administration.

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Historical Trust Accounting

TR-9005-P5

Historical Accounting Quality Control Files

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a. Quality Control Reviews

Contents: Records include audit working files of the historical accounting projects. A quality control review is conducted on various types of historical accounting reconciliations and related activities, such as verifying the reliability of the data contained in the Accounting Reconciliation Tool, the information technology system utilized for account reconciliations. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange by subject of quality control review and then chronologically by date.

Official File: Central Office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off, and then retire to the Federal Records Center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of the Interior and the National Archives and Records Administration.

b. Quality Control Reports

Contents: Records include quality control reports summarizing the quality control reviews of historical accounting projects and activities. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange by subject of quality control review and then chronologically by date.

Official File: Central Office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off, and then retire to the Federal Records Center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of the Interior and the National Archives and Records Administration.

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Historical Trust Accounting

TR-9006-P5

Historical Trust Statistical Reports

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Contents: Records consist of periodic reports on (1) the completion of each project or phase of a project in historical accounting; (2) meta analysis (overview analysis) of studies and reports; and (3) any specific or ad hoc statistical analysis. The reports include detailed explanations of the methodology utilized to derive any statistical samples and how the data was analyzed to predict within a specified margin of error the accuracy of historical accounting projects. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange chronologically by date.

Official File: Central Office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off, and then retire to the Federal Records Center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of the Interior and the National Archives and Records Administration.

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Historical Trust Accounting

TR-9007-P5

Historical Trust Accounting Document Request Tracking and Control Files

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Contents: Records include logs, registers, copies of requested documents and other records used to control or document the status of requests for accounting records necessary to reconcile accounts or document account transactions. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange by BIA Agency and then either chronologically or by subject.

Official File: Central Office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to the Federal Records Center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of the Interior and the National Archives and Records Administration.

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Historical Trust Accounting

TR-9008-P5

Historical Statement of Account Files

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a. Mailings

Contents: Records relating to the development of Historical Statements of Account mailed to account owners. Records include the cover letter for each mailing, the Historical Statement of Account, the brochure on Historical Statements of Account, a Statement of Limitations (if required for the mailing), and the Interest Comparison Statement (if required), and the record copies of the statements mailed to account holders. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange chronologically by mailing date and then by the accounting group number assigned to each Indian Tribe.

Official File: Central Office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off; and then retire to the Federal Records Center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of the Interior and the National Archives and Records Administration.

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b. Returned Mail

Contents: Returned Historical Statement of Accounts mailed to account owners for which further research failed to identify the correct address. Also included are printouts of electronic mail, documents created through word processing and spreadsheet software applications, and supporting documentation.

Filing Arrangement: Arrange chronologically by mailing date and then by the accounting group number assigned to each Indian Tribe.

Official File: Central Office.

Disposition Instructions: PERMANENT. Cut off at fiscal year end. Maintain in office of record for a maximum of 5 years after cut off, and then retire to the Federal Records Center. Subsequent legal transfer of the records to the National Archives of the United States will be as jointly agreed to between the United States Department of the Interior and the National Archives and Records Administration.

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